

06/29/00

Please type a plus (+) sign in this box

+

06-50-00

PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, persons are required to respond to a collection of information unless it displays a valid OMB control number**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(For new non-provisional applications under 37 C.F.R. § 1.53(B))

Attorney Docket No. N19.12-0040

First Inventor or Application Identifier Bi et al.

Title BATTERIES WITH ELECTROACTIVE  
NANOPARTICLES

Express Mail Label No. EL636045521US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

Address To: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \*Fee Transmittal Form e.g., PTO/SB17  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Sheets **32**]  
(preferred arrangement set forth below)
- Descriptive title of the Invention)
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention

5. ☐ Microfiche Computer Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(If applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (Identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **11**]Oath or Declaration [Total Sheets **2**]

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT  
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
9. ☐ English Translation Document
10. ☐ Information Disclosure Statement (IDS/PTO - PTO) ☐ Copies of IDS
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
13. ☐ \*Small Entity ☒ Statement filed in prior application  
Statement(s) Status still proper and desired  
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: Another Preliminary Amendment amending  
the claims will be filed in the immediate future.

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:☒ Continuation ☐ Divisional ☐ Continuation -in part (CIP) of prior application No: 09/333,099

Prior application information: Examiner C. Chaney

Group/Art Unit: 1745

**FOR CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Peter S. Dardi, Ph.D. WESTMAN CHAMPLIN & KELLY				
Address	Suite 1600 - International Centre 900 South Second Avenue				
City	Minneapolis	State	MN	Zip Code	55402-3319
Country	USA	Telephone	(612) 334-3222	Fax	(612) 334-3312

Name (Print/type)	P ter S. Dardi, Ph.D.	Registration No. (Attorney/Agent)	39,650
Signature	<i>Peter S. Dardi</i>	Date	6/29/00

# FEE CALCULATION SHEET

Attorney Docket No.

N19.12-0040

Sir:

Express Mail No. EL636045521US  
Date of Deposit: June 29, 2000

The fees due for filing in the patent application of:

Inventor(s) : Xiangxin Bi; Nobuyuki Kambe, Sujeet Kumar and James T. Gardner

Title : BATTERIES WITH ELECTROACTIVE NANOPARTICLES

Are calculated as follows:

X Reduced fees are applicable based on the enclosed Verified Statement claiming Small Entity status.

(Col. 1)		(Col. 2)	Small Entity		OR	Large Entity	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE		RATE	FEE
BASIC FEE			=	\$345		=	\$690
TOTAL CLAIMS	20 - 20 =	0	X 9 =	\$345		X 18 =	\$
INDEP CLAIMS	3 - 3 =	0	X 39 =	\$		X 78 =	\$
____ MULTIPLE DEPENDENT CLAIM PRESENTED			+ 130 =	\$		+ 260 =	\$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			TOTAL	\$345		TOTAL	\$

Please charge Deposit Account No. 23-1123 in the amount of \$\_\_\_\_\_. This sheet is submitted in triplicate.

X A check in the amount of \$345.00 to cover the filing fee is enclosed.

X The Commissioner is authorized to charge payment of any patent application processing or filing fees under 37 CFR §§ 1.16 and 1.17 or credit any overpayment to Deposit Account No. 23-1123. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: Peter S. Dardi  
Peter S. Dardi, Ph.D., Reg. No. 39,650  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222 Fax: (612) 334-3312

PSD:nw